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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/885,234	06/19/2001	Christopher J. Cormack	42390.P11396	4422

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EXAMINER

LEMMA, SAMSON B

ART UNIT	PAPER NUMBER
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2132

DATE MAILED: 09/07/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/885,234

Applicant(s)

CORMACK ET AL.

Examiner

Samson B. Lemma

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 24 June 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-30 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. This office action is in replay to an amendment filed on June 24, 2005.

The independent claim 1, 10, 19 have been amended and new claim **28-30** have been added. **Claims 1-30** are pending.

Response to Arguments

2. Applicant's argument filed on June 24, 2005 for claims 1-6, 10-15 and 19-24 have been fully considered but they are not persuasive.

The First argument by the applicant is about the new independent claims 1, 10 and 19, which are amended to includes features which was not part of the former independent claims. The new features added by the applicant is recited as follows, **"wherein authentication includes at least one chosen from the group consisting**
Generating a new user identity value associated with a user identity
and comparing the new user identity value to the stored user identity values and
Obtaining an input responsive to a program attempting to access the
system registry, the input allowing processing to continue." Applicant indicated that these new features were not disclosed by the reference on the record namely Kathrow. **Examiner disagrees with this argument**, examiner would point out that the above features are disclosed by the former references on the records and the examiner explanation/remark/argument/citation is included in the respective independent claims shown below.

The second argument by the applicant is relation to the claims **7-9, 16-18 and 25-27**, applicant argued that the independent claims 7, 16 and 25 includes features that was different from the other independent claims 1, 10 and 19 therefore requested a second consideration with no argument.

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Examiner has considered the above request however are moot in view of new ground(s) of rejection.

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. **Claims 1-6, 10-15, 19-24 and 28-30** are rejected under 35 U.S.C. 102(e) as being anticipated by **Kathrow et al.** (hereinafter referred as **Kathrow**)(U.S. Patent No. 6,263,348)

5. **As per claims 1-2, 10-11 and 28-29** **Kathrow** discloses a method comprising:

- **Generating a user identity value [hash Value of the user Password] associated with a user identity;** (In Microsoft operating system, in the process of authentication, generation of a user identity value or the hash value of the user password is inherently included. For NT, user enters their password and the clients hashes the user's password, and generates the hash value or the user identity value and encrypts the server's challenge with this hash and sends two responses to the server: One response uses the LAN Manager hash and another response uses the stronger NT hash. The server then compares the client's response hash with the client's

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hash in the SAM Registry hive.)(For the source/explanation that the examiner used, see reference U, page 2, second paragraph)

- **Storing the user identity value [hash value of the user password];** (Storing the **client's hash** or the **user identity value** or the **hash value of the user password**, in the SAM Registry as explained above for the purpose of authentication is inherently included in the Microsoft operating system, NT) (For the explanation/source that the examiner used See reference U, page 2, second paragraph)

Furthermore **Kathrow** discloses

- **Generating a registry security value [Fingerprint of the registry file/s which includes hash value of the Windows registry file/s] associated with a system registry;** [column 5, lines 11-25; column 4, lines 26-column 5, line 25; figure 2, ref. Num "222" and "232"]
- **Storing the registry security value;** [Column 5, lines 11-26; figure 2, ref. Num "232"] (content storage stores the fingerprint of the file shown on figure 2, ref. Num "232") and
- **Authenticating the system registry after reading the system registry.**(As explained in the disclosure and on the dependent claim 5, this limitation **comprises**
- **Generating a new registry security value [Fingerprint of the registry file/s which includes hash value of the Windows registry file/s];** [Column 5, lines 41-62; figure 2, ref. Num "234"] (The new registry finger print is generated and stored on storage shown on figure 2, ref. Num "234")

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- **Comparing the new registry security value with the stored registry security value;** [Column 6, lines 20-21; column 7, lines 1-6; figure 2, ref. Num "242"] and **allowing processing to continue if the new registry security value is equal to the stored registry security value.**[Column 6, lines 32-36; column 10, lines 38-43] (The processing will not be allowed to continue if the new registry security value is not equal with the stored security value. If this is the case, that is if they are found to be different, then the comparison result will be reported.)
wherein authentication includes at least one chosen from the group consisting of:
Generating a new user identity value associated with a user identity and comparing the new user identity value to the stored user identity values (As explained above in Microsoft operating system, in the process of authentication, generation of a user identity value or the hash value of the user password is inherently included. For NT, user enters their password/could be a new password and the clients hashes the user's new password, and generates the hash value or the user identity value and encrypts the server's challenge with this hash and sends two responses to the server: One response uses the LAN Manager hash and another response uses the stronger NT hash. The server then compares the client's response hash with the client's hash in the SAM Registry hive and this meets the limitation of generating a new user identity value associated with a user identity and comparing the new user identity value to the stored user identity values.)(For the source/explanation that the examiner used, see reference U, page 2, second paragraph and since the limitation indicated at least one chosen from the group consists of the above explanation is sufficient) and
Obtaining an input responsive to a program attempting to access the system registry, the input allowing processing to continue. (Since the limitation indicated at least one chosen from the group consists of the above explanation is sufficient)

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6. **As per claims 19-20 and 30 Kathrow discloses an Apparatus comprising:**

- **A bus; [figure 1]** (The bus is inherently included in the computer system shown on figure 1, it connects the cpu/processor with the memory or storage)
- **Storage device coupled to said bus;**[Figure 1, ref. Num “162” and “164”) (The storage device shown on figure 1, ref. Num “162 and “164” are coupled to the processor by said bus as shown on figure 1) and
- **A processor coupled to said data storage device,** [figure 1, ref. Num “160” and “162” and “164”)
- **Said processor operable to receive instructions which, when executed by the processor, cause the processor to [Column 3, lines 23-27; column 3, lines 27-56]**
- **Generating a user identity value [hash Value of the user Password] associated with a user identity;** (In Microsoft operating system, in the process of authentication, generation of a user identity value or the hash value of the user password is inherently included. For NT, user enters their password and the clients hashes the user’s password, and generates the hash value or user identity value and encrypts the server’s challenge with this hash and sends two responses to the server: One response uses the LAN Manager hash and another response uses the stronger NT hash. The server then compares the client’s response hash with the client’s hash in the SAM Registry hive.)(For the explanation/source that the examiner used, see reference U, page 2, second paragraph)

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- **Storing the user identity value [hash value of the user password];** (Storing the **client's hash** or the **user identity value** or the **hash value of the user password**, in the SAM Registry as explained above for the purpose of authentication is inherently included in the Microsoft operating system, NT) (For the explanation/source that the examiner used See reference U, page 2, second paragraph)

Furthermore **Kathrow** discloses

- **Generating a registry security value [Fingerprint of the registry file/s which includes hash value of the Windows registry file/s] associated with a system registry;** [Column 5, lines 11-25; column 4, lines 26-column 5, line 25; figure 2, ref. Num "222", ref. Num "232"]
- **Storing the registry security value;** [Column 5, lines 11-26; figure 2, ref. Num "232"] (content storage stores the fingerprint of the file shown on figure 2, ref. Num "232") and
- **Authenticating the system registry after reading the system registry.**(As explained in the disclosure and on the dependent claim 5, this limitation **comprises**
- **Generating a new registry security value [Fingerprint of the registry file/s which includes hash value of the Windows registry file/s];** [Column 5, lines 41-62; figure 2, ref. Num "234"] (The new registry finger print is generated and stored on storage shown on figure 2, ref. Num "234")
- **Comparing the new registry security value with the stored registry security value;** [Column 6, lines 20-21; column 7, lines 1-6; figure 2, ref. Num "242"] and **allowing processing to continue if the new registry security value is equal**

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to the stored registry security value.[Column 6, lines 32-36; column 10, lines 38-43] (The processing will not be allowed to continue if the new registry security value is not equal with the stored security value. If this is the case, that is if they are found to be different, then the comparison result will be reported.)

- **Generating a new user identity value associated with a user identity and comparing the new user identity value to the stored user identity values** (As explained above in Microsoft operating system, in the process of authentication, generation of a user identity value or the hash value of the user password is inherently included. For NT, user enters their password/could be a new password and the clients hashes the user's new password, and generates the hash value or the user identity value and encrypts the server's challenge with this hash and sends two responses to the server: One response uses the LAN Manager hash and another response uses the stronger NT hash. The server then compares the client's response hash with the client's hash in the SAM Registry hive and this meets the limitation of generating a new user identity value associated with a user identity and comparing the new user identity value to the stored user identity values.)(For the source/explanation that the examiner used, see reference U, page 2, second paragraph and since the limitation indicated at least one chosen from the group consists of the above explanation is sufficient) and **Obtaining an input responsive to a program attempting to access the system registry, the input allowing processing to continue.** (Since the limitation indicated at least one chosen from the group consists of the above explanation is sufficient)

6. **As per claims 3-4 and 12-13** Kathrow discloses a method as applied to claims 1 and claim 10 above. Furthermore **Kathrow discloses the method wherein** generating a registry

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security value associated with a system registry comprises: concatenating system registry information; and inserting the concatenated system registry information in a one-way function to obtain the registry security value. [Column 4, lines 26-column 5, line 25; figure 2, ref. Num "232"]

7. **As per claims 5-6 and 14-15** Kathrow discloses a method as applied to claims 1 and 10 above. Furthermore **Kathrow discloses the method wherein authenticating the system registry after reading the system registry comprises:**

- **Generating a new registry security value [Fingerprint of the registry file/s which includes hash value of the Windows registry file/s];** [Column 5, lines 41-62; figure 2, ref. Num "234"] (The new registry finger print is generated and stored on storage shown on figure 2, ref. Num "234"]
- **Comparing the new registry security value with the stored registry security value;** [Column 6, lines 20-21; column 7, lines 1-6; figure 2, ref. Num "242"] and **allowing processing to continue if the new registry security value is equal to the stored registry security value.**[Column 6, lines 32-36; column 10, lines 38-43] (The processing will not be allowed to continue if the new registry security value is not equal with the stored security value. If this is the case, that is if they are found to be different, then the comparison result will be reported.)

8. **As per claims 21-22** Kathrow discloses an apparatus as applied to claim 19 above. Furthermore **Kathrow discloses an apparatus** wherein the processor operable to receive instructions which, when executed by the processor, cause the processor to generate a registry security value associated with a system registry comprises the processor to concatenate system registry information; and to insert the concatenated system registry information in a function to obtain the registry security value. [Column 4, lines 26-column 5, line 25; figure 2, ref. Num "232"]

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9. **As per claims 23-24** Kathrow discloses an apparatus as applied to claim 19 above. Furthermore **Kathrow discloses an apparatus** wherein the processor operable to receive instructions which, when executed by the processor, cause the processor to **authenticate the system registry after reading the system registry comprises the process** :

- **Generating a new registry security value [Fingerprint of the registry file/s which includes hash value of the Windows registry file/s];** [Column 5, lines 41-62; figure 2, ref. Num "234"] (The new registry finger print is generated and stored on storage shown on figure 2, ref. Num "234"]
- **Comparing the new registry security value with the stored registry security value;** [Column 6, lines 20-21; column 7, lines 1-6; figure 2, ref. Num "242"] and **allowing processing to continue if the new registry security value is equal to the stored registry security value.**[Column 6, lines 32-36; column 10, lines 38-43] (The processing will not be allowed to continue if the new registry security value is not equal with the stored security value. If this is the case, that is if they are found to be different, then the comparison result will be reported.)

Claim Rejections - 35 USC § 102

10. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

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11. **Claims 7-9, 16-18 and 25-27** are rejected under 35 U.S.C. 102(b) as being anticipated by 9Pereira. (hereinafter referred as Pereira)(U.S. Patent No. 5, 809, 230)

12. **As per claim 7-9, 16-18 and 25-27 Pereira** discloses a method

detecting an attempt to change a system registry;[column 4, lines 49-54;

column 4, lines 40-44; column 4, lines 49-51 column 10, lines 20-21]

generating a user identity value associated with the user identity;[column 10,

lines 20-26] (if the user enters the corresponding password user would be able to define/access resources in the registry)

- **Comparing the user identity value with a stored user identity value; (In**

Microsoft operating system, in the process of authentication, generation of a user identity value or the hash value of the user password is inherently included. For NT, user enters their password and the clients hashes the user's password, and generates the hash value or the user identity value and encrypts the server's challenge with this hash and sends two responses to the server: One response uses the LAN Manager hash and another response uses the stronger NT hash. The server then compares the client's response hash with the client's hash in the SAM Registry hive.)(For the source/explanation that the examiner used, see reference U, page 2, second paragraph) and

- **Modifying the system registry in response to being provided the user**

identity value equal to the stored user identity value.[column 10, lines 29-

33](The access control program may use an application program interface (API) to modify the registry system file in accordance with the restricted list files generated by the access control program.)

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Conclusion

13. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. (See PTO-Form 892).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Samson B Lemma whose telephone number is 571-272-3806. The examiner can normally be reached on Monday-Friday (8:00 am---4: 30 pm).

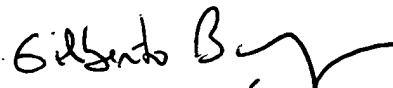
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, BARRON JR GILBERTO can be reached on 571-272-3799. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

SAMSON LEMMA

S.L.

08/29/2005



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